



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/971,087	10/05/2001	Gary Allan Kemp II	024051-0146

CONFIRMATION NO. 2608

FORMALITIES LETTER



OC000000006990356

William T. Ellis
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3000 K Street, N.W., Suite 500
Washington, DC 20007-5109



Date Mailed: 10/29/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 370 to complete the basic filing fee for a small entity.
- Total additional claim fee(s) for this application is \$360.
 - \$234 for 26 total claims over 20.
 - \$126 for 3 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 795.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

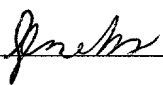
The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

02/01/2002 MBERHE 00000001 09971047

01 FD:201	370.00 DP
02 FD:203	65.00 DP
03 FD:203	234.00 DP
04 FD:202	126.00 DP

A copy of this notice MUST be returned with the reply.


Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

20251010 09074650

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gary Allan KEMP, II et al.

Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF
MARKET DEPTH AND PRICE CONSOLIDATION

Appl. No.: 09/971,087

Filing Date: 10/05/2001

Examiner: Unassigned

Art Unit: 2164

TRANSMITTAL OF MISSING PARTS
OF PATENT APPLICATION

Commissioner for Patents
Washington, D.C. 20231

Attn: BOX MISSING PARTS

Sir:

In response to the Notice to File Missing Parts of Application mailed on October 29, 2001, in the above-identified application, transmitted herewith are the missing parts needed to complete the filing of the subject patent application.

Enclosed are:

- ☒ Declaration and Power of Attorney (4 pages)
- ☒ Return Copy of Notice to File Missing Parts
- ☒ Petition for One Month Extension of Time
- ☒ Other: Information Disclosure Statement and 1449
with 1 cited reference, International Search Report, Formal
Drawings (18 sheets, Figs. 1-19) and Formal Drawing
Transmittal

The filing fee is calculated below:

	Claims as Filed	Included in Basic Fee	Extra Claims	Rate	Fee Totals
Basic Fee				\$740.00	\$740.00
Total Claims:	46	- 20	= 26	x \$18.00	= \$468.00
Independents:	6	- 3	= 3	x \$84.00	= \$252.00
If any Multiple Dependent Claim(s) present:			+	\$280.00	= \$0.00
Petition for One Month Extension of Time				\$110.00	= \$110.00
Surcharge under 37 CFR 1.16(e) for late payment of filing fee			+	\$130.00	= \$130.00
				SUBTOTAL:	= \$1700.00
[X] Small Entity Fees Apply (subtract ½ of above):					= \$850.00
				TOTAL FILING FEE:	= \$850.00
				TOTAL FEE	= \$850.00
Difference to pay:				- \$0.00	- \$850.00

[X] Check in the amount of \$850.00 in payment of surcharge fee (37 C.F.R. § 1.16(e))

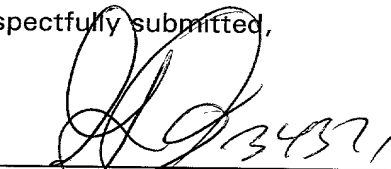
[] Please charge Deposit Account No. 19-0741 in the amount of \$0.00 in payment of surcharge fee (37 C.F.R. § 1.16(e))

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date January 29, 2002

By



William T. Ellis
Attorney for Applicant
Registration No. 26,874

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